

INVESTOR IN PEOPLE

The Patent Office
Concept House
Cardiff Road
Newport
South Wales
NP10 8QQ

PRIORITY DOCUMENT

SUBMITTED OR TRANSMITTED IN
COMPLIANCE WITH RULE 17.1(a) OR (b)

I, the undersigned, being an officer duly authorised in accordance with Section 74(1) and (4) of the Deregulation & Contracting Out Act 1994, to sign and issue certificates on behalf of the Comptroller-General, hereby certify that annexed hereto is a true copy of the documents as originally filed in connection with the patent application identified therein.

In accordance with the Patents (Companies Re-registration) Rules 1982, if a company named in this certificate and any accompanying documents has re-registered under the Companies Act 1980 with the same name as that with which it was registered immediately before re-registration save for the substitution as, or inclusion as, the last part of the name of the words "public limited company" or their equivalents in Welsh, references to the name of the company in this certificate and any accompanying documents shall be treated as references to the name with which it is so re-registered.

In accordance with the rules, the words "public limited company" may be replaced by p.l.c., plc, P.L.C. or PLC.

Re-registration under the Companies Act does not constitute a new legal entity but merely subjects the company to certain additional company law rules.

Signed

Stephen Horclay

Dated

18 October 2002

BEST AVAILABLE COPY

**PRIORITY
DOCUMENT**

SUBMITTED OR TRANSMITTED
BUT NOT IN COMPLIANCE WITH
RULE 17.1(a) OR (b)

Patents Act 1977
Section 16

05APR02 E708735-1 002882
P01/7700 0.00-0207831.9

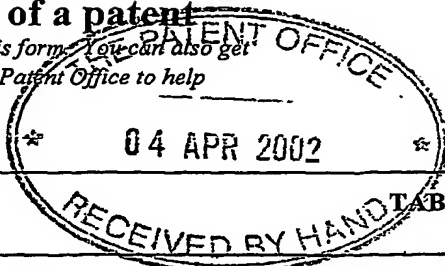
The Patent Office

Request for grant of a patent

(See the notes on the back of this form. You can also get an explanatory leaflet from the Patent Office to help you fill in this form)

1-4 APR 2002

Concept House
Cardiff Road
Newport
South Wales NP10 8QQ



1. Your reference **TAB/58262/900**

2. Patent application number
(The Patent Office will fill in this part) **0207831.9**

3. Full name, address and postcode of the or of each applicant (underline all surnames)
**De La Rue International Limited
De La Rue House
Jays Close
Viables
Basingstoke**

Patents ADP number (if you know it)

If the applicant is a corporate body, give the country/state of its incorporation **United Kingdom**

7863612001

4. Title of the invention **Improvements in Methods of Manufacturing Substrates**

5. Name of your agent (if you have one) **BOULT WADE TENNANT**

"Address for service" in the United Kingdom to which all correspondence should be sent (including the postcode)
**VERULAM GARDENS
70 GRAY'S INN ROAD
LONDON WC1X 8BT**

Patents ADP number (if you know it) **42001**

6.	If you are declaring priority from one or more earlier patent applications, give the country and the date of filing of the or of each of these earlier applications and (if you know it) the or each application number	Country	Priority application number (if you know it)	Date of filing (day/month/year)
----	---	---------	--	---------------------------------

7.	If this application is divided or otherwise derived from an earlier UK application, give the number and the filing date of the earlier application	Number of earlier application	Date of filing (day / month / year)
----	--	-------------------------------	-------------------------------------

8. Is a statement of inventorship and of right to grant of a patent required in support of this request? **Yes**
(Answer 'Yes' if:
a) any applicant named in part 3 is not an inventor, or
b) there is an inventor who is not named as an applicant, or
c) any named applicant is a corporate body.
See note (d))

Patents Form 1/77

9. Enter the number of sheets for any of the following items you are filing with this form. Do not count copies of the same document

Continuation sheets of this form 0

Description 11

Claim(s) 0

Abstract 0

Drawing(s) 5

as 3

10. If you are also filing any of the following, state how many against each item.

Priority documents 0

Translations of priority documents 0

Statement of inventorship and right to grant of a patent (Patents Form 7/77) 0

Request for preliminary examination and search (Patents Form 9/77) 0

Request for substantive examination (Patents Form 10/77) 0

Any other documents (Please specify) 0

11

I/We request the grant of a patent on the basis of this application.

Signature

Date

 4 April 2002

12. Name and daytime telephone number of person to contact in the United Kingdom

Tessa Bucks
020 7430 7500

Warning

After an application for a patent has been filed, the Comptroller of the Patent Office will consider whether publication or communication of the invention should be prohibited or restricted under Section 22 of the Patents Act 1977. You will be informed if it is necessary to prohibit or restrict your invention in this way. Furthermore, if you live in the United Kingdom, Section 23 of the Patents Act 1977 stops you from applying for a patent abroad without first getting written permission from the Patent Office unless an application has been filed at least 6 weeks beforehand in the United Kingdom for a patent for the same invention and either no direction prohibiting publication or communication has been given, or any such direction has been revoked.

Notes

- a) If you need help to fill in this form or you have any questions, please contact the Patent Office on 01645 500505.
- b) Write your answers in capital letters using black ink or you may type them.
- c) If there is not enough space for all the relevant details on any part of this form, please continue on a separate sheet of paper and write "see continuation sheet" in the relevant part(s). Any continuation sheet should be attached to this form.
- d) If you have answered 'Yes' Patents Form 7/77 will need to be filed.
- e) Once you have filled in the form you must remember to sign and date it.
- f) For details of the fee and ways to pay please contact the Patent Office.

IMPROVEMENTS IN METHODS OF MANUFACTURING SUBSTRATES

The present invention relates to improvements in methods of manufacture of substrates which can be used in varying shapes and sizes for various authenticating or security applications, which combine the advantages of indicia formed from metallisation or demetallisation of a security element and the colourshift effects of liquid crystal materials.

The increasing popularity of colour photocopiers and other imaging systems and the improving technical quality of colour photocopies has led to an increase in the counterfeiting of bank notes, passports and identification cards etc. There is, therefore, a need to add additional authenticating or security features to existing features. Steps have already been taken to introduce optically variable features into such documentation which cannot be reproduced by a photocopier. There is also a demand to introduce features which are discernible by the naked eye but which are "invisible" to, or viewed differently, by a photocopier. Since a photocopying process typically involves scattering high energy light off an original document containing the image to be copied, one solution would be to incorporate one or more features into the document which have a different perception in reflected and transmitted light, an example being watermarks and enhancements thereof.

It is known that certain liquid crystal materials exhibit a difference in colour when viewed in transmission and reflection as well as an angularly dependent coloured reflection. Liquid crystal materials have been incorporated into documents, identification cards and other security elements with a view to creating distinctive optical

characteristics. EP-A-0435029 is concerned with a data carrier, such as an identification card, which comprises a liquid crystal polymer layer or film in the data carrier. The liquid crystal polymer is in solid form at room temperature and is typically within a laminate structure. The intention is that the liquid crystal layer, which is applied to a black background, will demonstrate a high degree of colour purity in the reflected spectrum for all viewing angles. Automatic testing for verification of authenticity is described using the wavelength and polarisation properties of the reflected light in a single combined measurement. This has the disadvantage of being optically complex using a single absolute reflective measurement requiring a uniform liquid crystal area on a black background. AU-488,652 is also concerned with preventing counterfeit copies by introducing a distinctive optically-variable feature into a security element. This patent discloses the use of a liquid crystal "ink" laminated between two layers of plastic sheet. The liquid crystal is coated on a black background so that only the reflected wavelengths of light are seen as a colour. The patent is primarily crystals which have the characteristic of changing colour with variation in temperature.

Cholesteric liquid crystals have certain unique properties in the chiral nematic phase. It is the chiral nematic phase which produces an angularly dependent coloured reflection and a difference in colour when viewed in either transmission or reflection. Cholesteric liquid crystals form a helical structure which reflects circularly polarised light over a narrow band of wavelengths. The wavelength is a function of the pitch of the helical structure which is formed by alignment within the liquid crystal material. An example of such a structure is depicted

in Figure 1 with the cholesteric helical axis in the direction of the arrow X. The reflection wavelength can be tuned by appropriate choice of chemical composition of the liquid crystal. The materials can
5 be chosen to be temperature sensitive or insensitive. Both handednesses of circularly polarised light can be reflected by choice of the correct materials and thus high reflectivities at specific wavelengths can be achieved with double layers of liquid crystals. The
10 wavelength of reflected light is also dependent on the angle of incidence, which results in a colour change perceived by the viewer as the device is tilted (Figure 2).

15 On a dark background, only the reflective effect is observed, since little light is being transmitted from behind. When the dark background is removed or not present and the device is viewed in transmission, the intensity of the transmitted colour swamps the
20 reflective colour.

Of the light which is not reflected, a small proportion is absorbed and the remainder is transmitted through the liquid crystal material 3.
25 When correctly configured there is a dramatic change between the transmitted colour in the direction of arrow Y and reflected colour in the direction of arrow Z (Figure 3). The region on either side of the liquid crystal layer 3 in Figure 3 is a transparent polymer or glass. To achieve this effect the area of the
30 substrate which is occupied by the liquid crystal must be transparent or translucent. The transmitted and reflected colours are complementary, for example, a green reflected colour produces a magenta transmitted
35 colour.

In the field of banknotes, and security elements or threads in particular, the use of demetallised indicia such as described in EP-A-319157 has proved to be highly effective in reducing counterfeiting.

5 However, in the security business it is always advantageous to continually strive to find new and further improved anti-counterfeit security features. It is desired to use the highly advantageous
10 characteristics of demetallised characters and colour shift effects from liquid crystal materials.

According to the invention there is provided a method of manufacturing a substrate comprising the steps of applying a darkly coloured resist to at
15 least a part of a metallic layer on one side of a substantially transparent polymeric film, removing metal from areas not covered by the resist to form demetallised regions and applying a polymeric liquid crystal material over the resist and the demetallised
20 regions.

The invention also provides a substrate made by this method.

25 A preferred embodiment of the present invention will now be described, by way of example only, with reference to the accompanying drawings in which:-

30 Figure 1 depicts chiral nematic alignment of a cholesteric liquid crystal material;

Figure 2 shows how the reflection from a cholesteric liquid crystal material varies with the angle of incidence;

35 Figure 3 depicts the transmission and reflection of light incident on a liquid crystal material;

Figures 4 and 5 are cross sections across the width of two alternate elongate authenticating device formed by the present invention; and

5 Figure 6 is a plan view of the elongate authenticating device of Figure 5.

10 Figure 7 is a cross section of a further embodiment of substrate 10 forming part of a laminated structure;

Figure 8 is a cross section of a yet further embodiment of substrate 10.

15 Figures 1 to 3 have already been described in detail as background to the present invention.

20 Referring now to Figure 4, there is illustrated a substrate 10 formed by the method of the present invention for use in security or authenticating devices. The method requires a metallised film comprising a substantially clear polymeric film 11 of PET or the like, which has an opaque layer of metal 12 on a first side thereof. A suitable
25 pre-metallised film is metallised MELINEX S film from DuPont of preferably 19µm thickness.

30 The metal layer 12 is printed with a resist 13 which contains a black or dark dye or pigment. Suitable resists include the dye BASF Neozapon X51 or the pigment (well dispensed) carbon black 7 mixed into a material with both good adhesion to metal and caustic resistance. The dye loading can be up to 50%
35 (by weight) of the final coat of resist 13 depending on coat thickness and desired blackness. An example of a class of suitable resist materials is vinyl chlorides/vinyl acetate copolymers such as Union

Carbide Ucar resins, Sun VHL 31534, or Wacker Vinnol E 15/45m. The metallised film is then partially

demetallised, according to a known demetallisation process using a caustic wash which removes the metal in the regions not printed with the resist 13. The remaining regions coated with resist 13 provide a black layer which is visible when the demetallised film is viewed from its first side (along arrow Y)

interspersed with clear regions. The shiny metal of the remaining parts of the metallic layer 12 are only visible from an opposite side of the demetallised film (along arrow X). The resist 13 may be printed in the form of the indicia 14 (see Figure 6) such as words, numerals, patterns and the like; in which case the resulting indicia 14 will be positively metallised, with the metal still covered by the dark or black resist 13. Alternatively the resist 13 may be printed so as to form indicia negatively, in which case the resulting indicia 14 will be provided by the demetallised regions. The indicia 14, however formed, are clearly visible from both sides, especially in transmitted light, due to the contrast between the regions of the metal which have been removed and the remaining opaque regions.

A layer 15 of polymeric liquid crystal material is then coated, transferred or laminated to the demetallised film over the remaining parts of the black resist layer 13 and the demetallised regions. A layer of a suitable adhesive 16 may be required, for this process, applied between the black resist layer 13 and the liquid crystal layer 15. This has the effect of producing a highly visible colour shift effect when the finished substrate 10 is viewed in reflection from the first side (along arrow Y); and a metallic shiny partial coating when viewed from the other side (along arrow X). Additionally clear

positive or negative indicia 14 can be seen in transmission from either side.

5 When the aforementioned substrate 10, or a strip or thread made therefrom, is included in paper, the remaining metal of layer 12 is not actually visible, as it is hidden either by the masking coat of resist 13 or the paper. However, it does add opacity, thereby enhancing the contrast between the
10 demetallised and metallised areas, and the black of the resist layer 13 appears darker on it, since there is no transmitted light through to the layer 13.

15 If a metallic effect is not desired, an additional masking coat may be used as well as the black layer of resist 13 and a suitable material for such a masking coat would be Coates 3188XSN or Coates Heliovyl White S90 353. A typical coat weight is suggested to be in the region of 2GSM.

20 Whilst the use of a black, or very dark dye, may give rise to the most strong colour shift effects, other effects may be generated by the use of a dyed resist of other colours or a combination of colours
25 giving rise to differing apparent colour shift colours.

Optionally, a further protective layer 17 may be laminated to or coated over the liquid crystal layer
30 15. Such a layer 17 may be a PET laminate or an anti-scratch coating. A suitable anti-scratch coating would be Wacker Vinnol E 15/45M.

35 The black dye or pigment in the resist 13 may be a conducting material, such as carbon black, to produce a machine-readable conducting layer.

Alternatively it may be a magnetic material, such as magnetite, to produce a machine readable magnetic layer.

5 In a further embodiment of the invention shown in Figure 5, only some parts of the layer of resist 13 contain a dark dye or pigment and some parts 18 are substantially clear containing low concentrations of, or no, dye/pigment. When viewed from the first side
10 (along arrow Y), the metal of the metallic layer 12 can clearly be seen in the regions of remaining clear resist 18, unaffected by the liquid crystal layer 17. The colourshift effect can only be seen in the darkly coloured resist regions 13. This is shown in Figure
15 6.

 The clear resist regions 18 may also contain a fluorescent, luminescent or phosphorescent material so that, whilst the metallic layer 12 can be seen as
20 metallic in normal lighting in those regions, under UV lighting the regions 18 have a definite colour.

 Additionally, in the regions 18 where the metal is visible under the clear resist 18 a holographic
25 structure can be incorporated into the metallic layer.

 Another effect provided by the invention is that, when viewed off-axis, the colour of the liquid crystal changes slightly as the substrate 10 is rotated. When
30 the substrate is overcoated with an adhesive or anti-scratch coating the colour change is reduced. Thus, if the adhesive/anti-scratch coating is applied in the form of a pattern or design, then the coated/uncoated regions can appear as different colours off-axis.
35 When the uncoated regions change colour on movement of the element 10 the contrast is seen more clearly.

Another effect which can be usefully used is that, when the substrate 10 is stretched, it changes colour (irreversibly). The colour goes to longer wavelengths (eg green goes to red) and retains its colour shifting capability (eg red now goes to green off-axis).

The use of fluorescent, luminescent or phosphorescent materials in the clear parts 18 of the layer of resist 13 enable interesting effects to be produced.

The substrate 10 produced by this method can be slit or cut into patches, foils, stripes, strips or threads for incorporation into plastic or paper substrates in accordance with known methods. Whilst these are preferably partially embedded into a paper or plastic substrate, they may be applied to a substrate or wholly embedded within.

It will be further understood by those skilled in the art that the proposed method could be used in combination with existing approaches for the manufacture of thread. Examples of suitable constructions that can be used include, but are not limited to, those cited within EP516790, WO9825236, and WO9928852. Figure 7 illustrates how substrate 10 may form part of a laminated structure and Figure 8 shows a more integrated approach.

Figure 7 shows substrate 10 laminated to a second machine-readable construction. The machine-readable construction comprises a metallised 12µm PET base 11, which has been selective demetallised. In this example two "tramlines" 30 of metal 12 have been left along each edge of the construction but other variants are possible as illustrated within the cited prior

art. The "tramlines" 30 are such that when the final construction is laminated to substrate 10 they are coincident with only metallised regions. A protective layer 20 is applied onto the "tramlines" 30 to prevent the metal being corroded by the magnetic layer 21, which is applied next. The magnetic material is only applied over the tramlines 30 so as not to obscure the indicia formed with the substrate 10. A suitable

~~protective layer 20 is VHL31534 supplied by Sun~~

Chemical applied with coat weight of 2gsm. A suitable magnetic material 21 is FX 1021 supplied by Ferron applied with a coat weight of 2-6 gsm. On to this a suitable laminating adhesive 19 is applied, this may be the same as for layer 16 in the previous constructions. The whole construction is then laminated to substrate 10 to form the final structure. If a high durability substrate is required it may be preferable to apply a further laminate layer onto the polymer liquid crystal layer as described in previous examples.

Figure 8 shows another alternative approach to forming a machine-readable construction. Here a 11.5 μ m metallised PET base layer 11 is demetallised with a suitable design 12 again ensuring tramlines 30 are left along each edge of the thread. As for substrate 10 a black resist 13 has been used during the demetallisation process. On to the black resist 13 a protective layer 20 is applied prior to application of a magnetic layer 21. The protective layer 20 may optionally be pigmented. Suitable materials and coat weights are as described for Figure 7. Finally a layer of polymer liquid crystal 15 is laminated on to the top using a laminating adhesive 16 as previously described. In both the examples above the magnetic material 21 is applied as tramlines along both edges of the thread. It should also be noted that the

magnetic material 21 could be applied in any manner so long as it does not encroach into the demetallised regions and consequently obscure the indicia 14. Several alternative constructions are detailed within the cited prior art.

The substrate or security thread described in any of the above embodiments may be used in security paper such as bank notes.

1/5

FIG. 1.

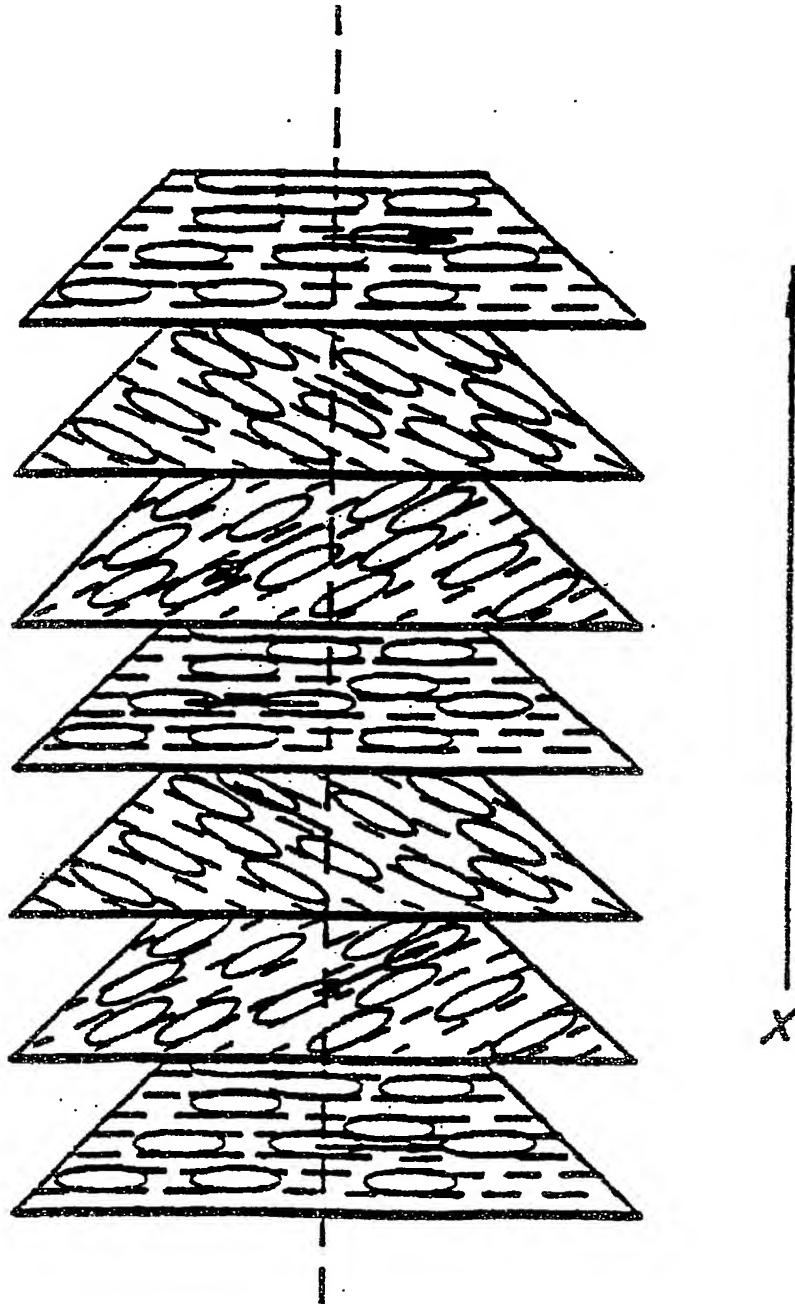
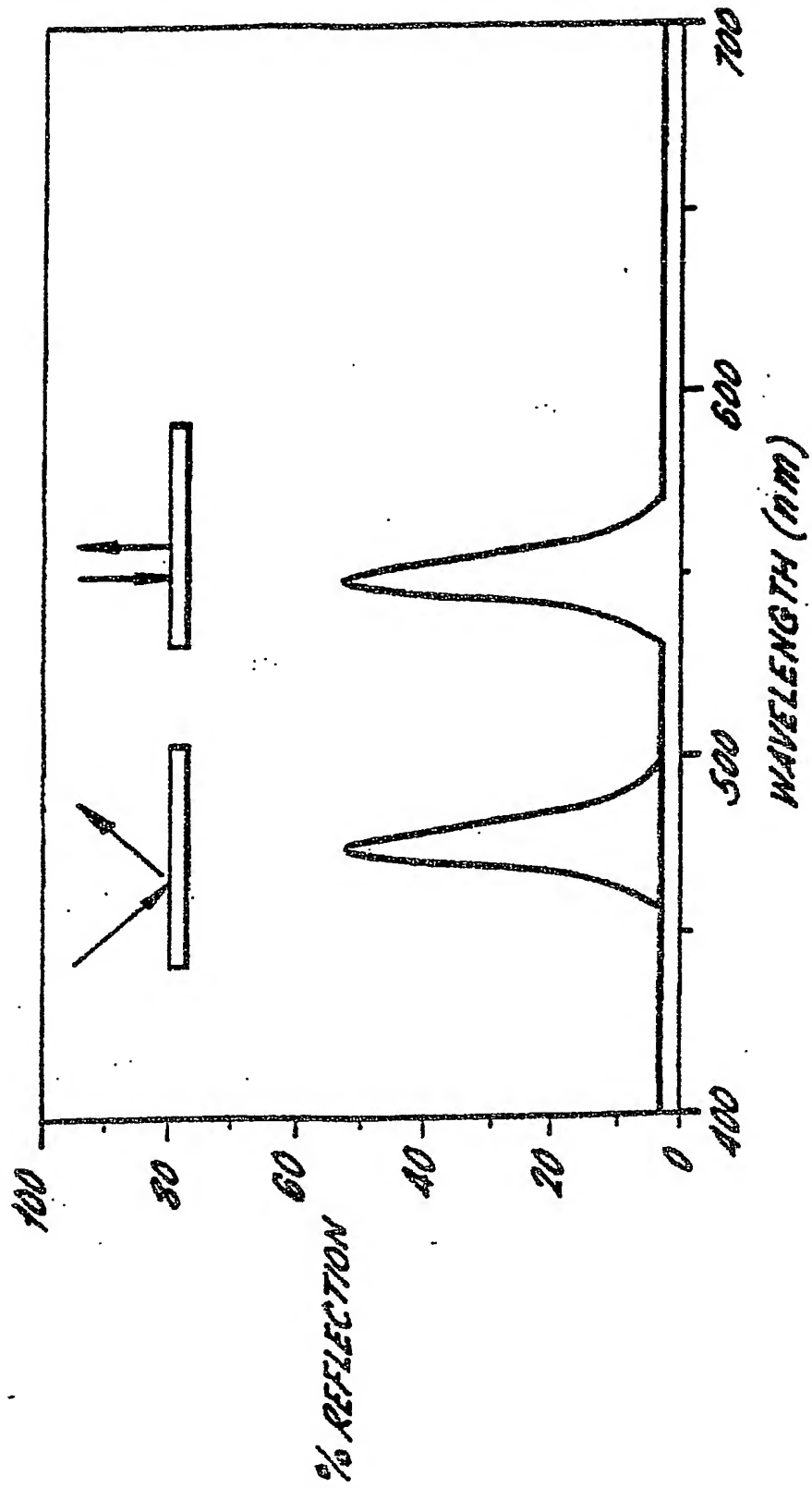
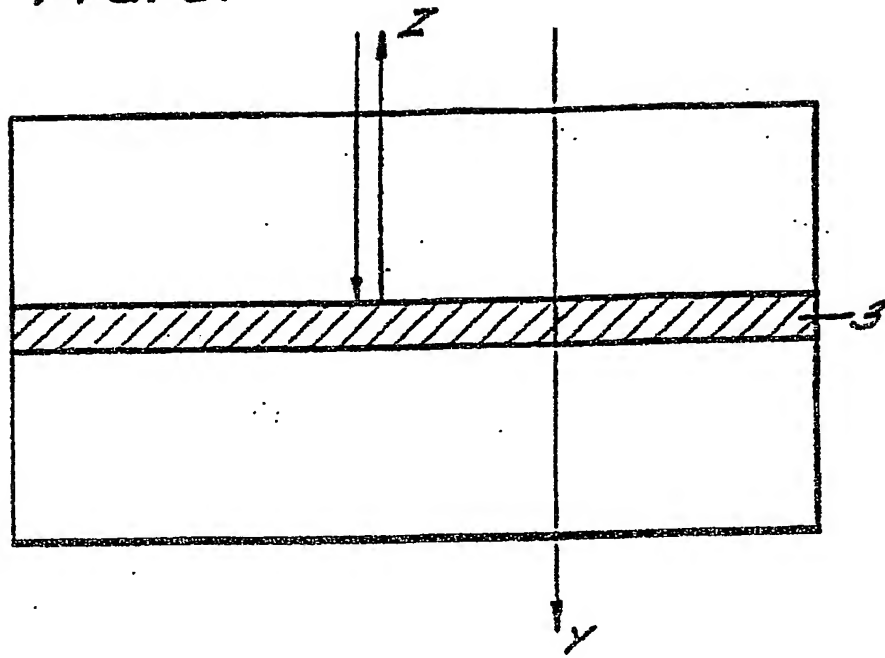


FIG. 2.



3/5

FIG. 3.



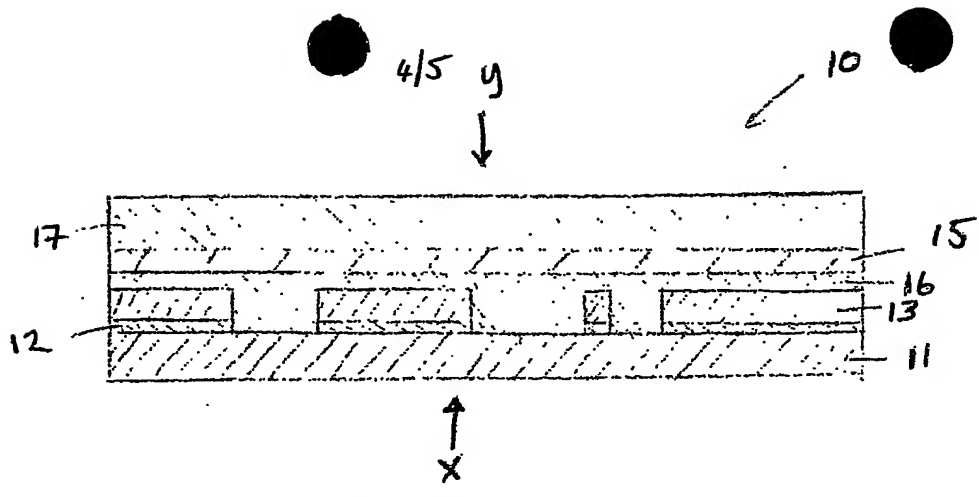
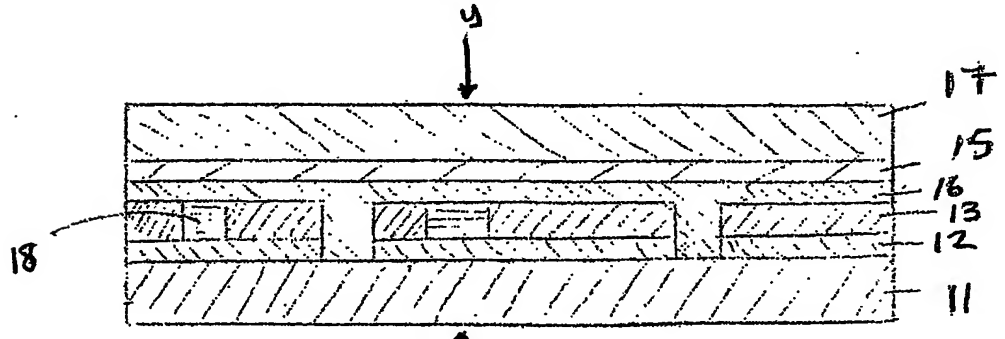


FIGURE 4



FIGURES

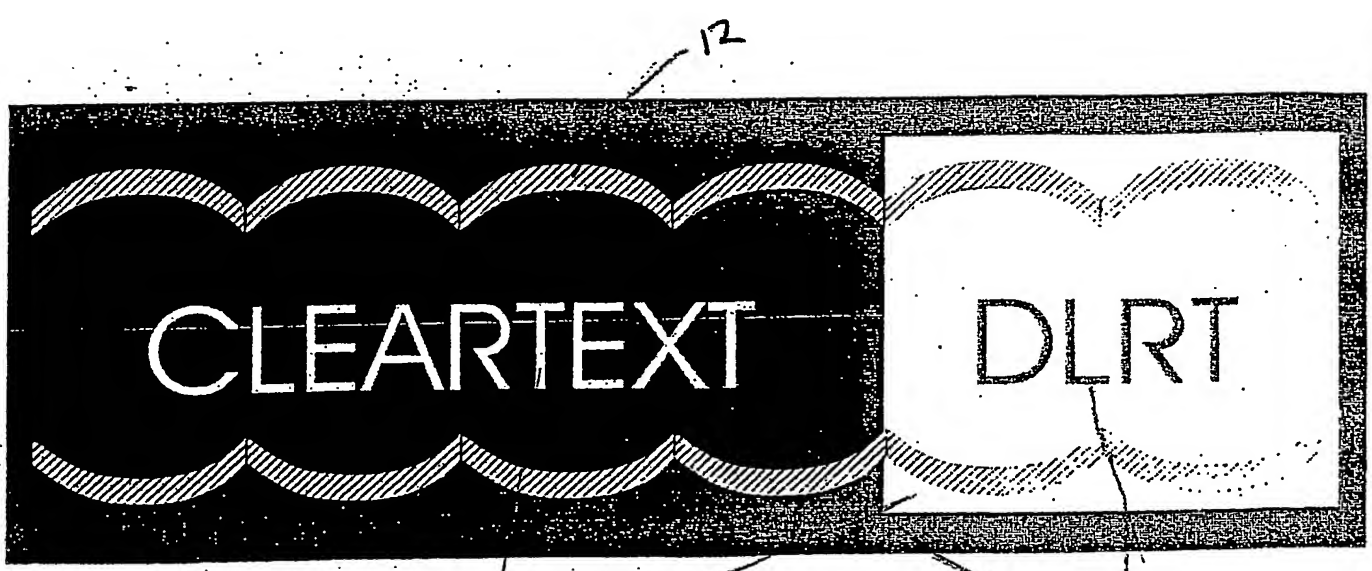


FIGURE 6

s/5

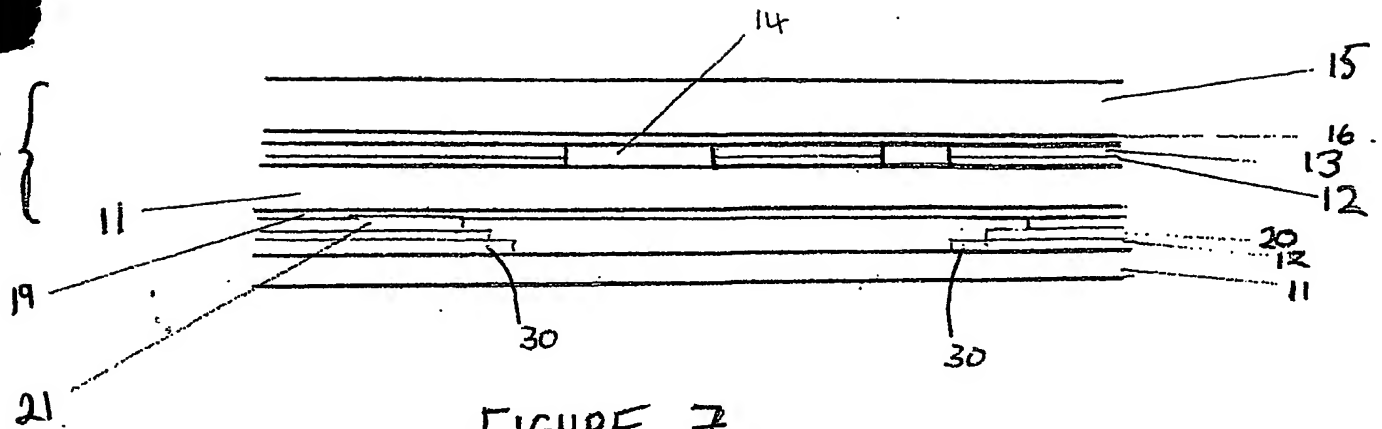


FIGURE 7

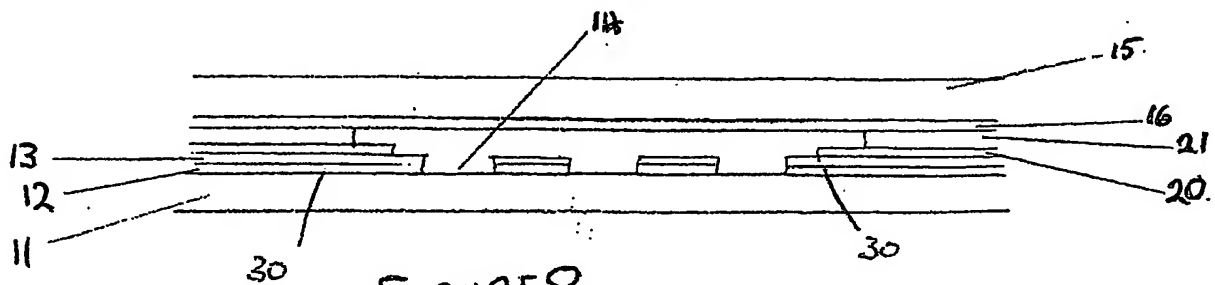


FIGURE 8.

**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☒ BLACK BORDERS
- ☐ IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
- ☒ FADED TEXT OR DRAWING
- ☒ BLURRED OR ILLEGIBLE TEXT OR DRAWING
- ☒ SKEWED/SLANTED IMAGES
- ☐ COLOR OR BLACK AND WHITE PHOTOGRAPHS
- ☐ GRAY SCALE DOCUMENTS
- ☒ LINES OR MARKS ON ORIGINAL DOCUMENT
- ☒ REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY
- ☐ OTHER: _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.